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IN THE UNITED STATES

PATENT AND TRADEMARK OFFICE

APPLICANTS: Rod A. Cherkas et al.  
SERIAL NO.: 09/900,485  
FILING DATE: July 6, 2001  
TITLE: Automated, User Specific Tax Analysis of Investment Transactions  
Using a Personal Tax Profile  
EXAMINER: Unknown  
GROUP ART UNIT: Unknown  
ATTY. DKT. NO.: 16319-05452

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner For Patents, Box Missing Parts, Washington, D.C. 20231, on the date shown below:

Dated: 11/21/01 By: Robert R. Sachs  
Robert R. Sachs, Reg. No.: 42,120

BOX MISSING PARTS  
ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING  
PARTS OF APPLICATION**

SIR:

Responsive to the Formalities Letter dated August 24, 2001 received in the above-identified patent application, enclosed are:

- a copy of the Notice to File Missing Parts;
- an original, signed Declaration;
- Assignment and Assignment Recordation;

**PATENT**

Other: Two checks totaling \$1,258 to cover the application filing fees, the missing parts surcharge, and a one-month extension of time.

Respectfully submitted,  
ROD A. CHERKAS

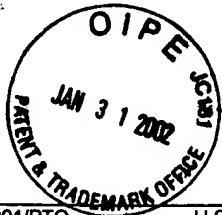
Dated: 11/20/01

By: Robert R. Sachs

Robert R. Sachs, Reg. No.: 42,120  
Fenwick & West LLP  
Two Palo Alto Square  
Palo Alto, CA 94306  
Tel.: (415) 875-2410  
Fax.: (415) 281-1350

16319/05452/SF/5063289.1

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PTO/SB/21 (modified)

Approved for use through xx/xx/xx, OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

*Rec'd w/*

0001/PTO  
Rev. 10/95

U.S. Department of Commerce  
Patent and Trademark Office

Application Number	09/900,485
Filing Date	July 6, 2001
First Named Inventor	Rod A. Cherkas
Group Art Unit Number	Unknown
Examiner Name	Unknown

## TRANSMITTAL FORM

(to be used for all correspondence during pendency of filed application)

Total Number of Pages in This Submission

13

Attorney Docket Number

16319-05452

### ENCLOSURES (check all that apply)

- |  |  |
|--|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate)      | <input type="checkbox"/> Issue Fee Transmittal   |
| <input checked="" type="checkbox"/> Two Checks Enclosed                      | <input type="checkbox"/> Letter to Chief Draftsperson                                      |
| <input checked="" type="checkbox"/> Return Receipt Postcard                  | <input type="checkbox"/> Formal Drawing(s):<br>[ : ] Sheet(s) of Figures [ : ]             |
| <input checked="" type="checkbox"/> Response to Notice to File Missing Parts | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences        |
| <input checked="" type="checkbox"/> Assignment & Recordation Sheet           | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input checked="" type="checkbox"/> Declaration                              | <input type="checkbox"/> Certified Copy of Priority Document(s)                            |
| <input type="checkbox"/> Small Entity Statement                              | <input type="checkbox"/> After Allowance Communication to Group                            |
| <input type="checkbox"/> Information Disclosure Statement & PTO-1449         | <input checked="" type="checkbox"/> Copy of Formalities Letter                             |
| <input type="checkbox"/> Copies of IDS Cited References                      | <input type="checkbox"/> Application Data Sheet  |
| <input type="checkbox"/> Request to Withdraw as Attorneys (in triplicate)    | <input type="checkbox"/>   |
| <input type="checkbox"/> Request for Correction of Recorded Assignment       | <input type="checkbox"/>   |
| <input type="checkbox"/> Amendment/Response: [ ] Page(s)                     | <input type="checkbox"/>   |
| <input type="checkbox"/> After Final   | <input type="checkbox"/>   |
| <input type="checkbox"/> Status Request                                      | <input type="checkbox"/>   |
| <input type="checkbox"/> Revocation and Power of Attorney                    | <input type="checkbox"/>   |

### REMARKS:

### SIGNATURE OF ATTORNEY OR AGENT

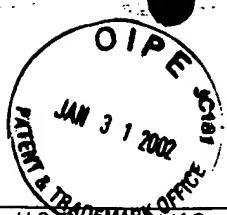
Signature:	<i>Robert R. Sachs</i>
Attorney/Reg. No.:	Robert R. Sachs, Registration No. 42,120
Dated:	Nov. 20, 2001

### CERTIFICATE OF MAILING

I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Box MISSING PARTS, Washington, D.C. 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.

Signature:	<i>Robert R. Sachs</i>
Typed or Printed Name:	Robert R. Sachs
Dated:	Nov. 20, 2001
Express Mail Mailing Number (optional):	

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PTO/SB/17 (10-00)(modified)  
Approved for use through 09/29/01, OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0002/PTO (modified)  
Rev. 10/2000

U.S. Department of Commerce  
Patent and Trademark Office

## FEE TRANSMITTAL

### TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) = **(\\$) 1,258**

<i>Complete if Known</i>	
Application Number	09/900,485
Filing Date	July 6, 2001
First Named Inventor	Rod A. Cherkas
Group Art Unit	Unknown
Examiner Name	Unknown

Attorney Docket Number **16319-05452**

### METHOD OF PAYMENT

#### 1. The Commissioner is hereby authorized to:

- Charge the indicated fees to the below mentioned deposit account.
- Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account.<sup>†</sup>
- Applicant claims small entity status  
See 37 CFR 1.27

Deposit Account Number: 19-2555  
Deposit Account Name: FENWICK & WEST LLP

A Duplicate Copy of this authorization is attached

#### 2. Payment Enclosed:

- Check
- Credit Card
- Other

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
105/\$130	205/\$85	Surcharge - late filing fee or oath	<b>130</b>
127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet	<b>50</b>
147/\$2,520	147/\$2,520	For filing a request for reexamination	<b>2,520</b>
115/\$110	215/\$55	Extension for response within first month <sup>†</sup>	<b>110</b>
116/\$390	216/\$195	Extension for response within second month <sup>†</sup>	<b>390</b>
117/\$920	217/\$480	Extension for response within third month <sup>†</sup>	<b>920</b>
118/\$1,390	218/\$695	Extension for response within fourth month <sup>†</sup>	<b>1,390</b>
128/\$1,890	228/\$945	Extension for response within fifth month <sup>†</sup>	<b>1,890</b>
119/\$310	219/\$155	Notice of Appeal	<b>310</b>
141/\$1,240	241/\$620	Petition to revive unintentionally abandoned application	<b>1,240</b>
142/\$1,240	242/\$620	Utility Issue Fee (Or Reissue)	<b>1,240</b>
143/\$440	243/\$220	Design Issue Fee	<b>440</b>
122/\$130	122/\$130	Petitions to the Commissioner	<b>130</b>
126/\$180	126/\$180	Submission of Information Disclosure Statement	<b>180</b>
179/\$710	279/\$355	Request for Continued Examination (RCE)	<b>710</b>
581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	<b>40</b>
146/\$710	246/\$355	Filing a submission after final rejection (37 CFR 1.129(a))	<b>710</b>
149/\$710	249/\$355	For each additional invention to be examined (37 CFR 1.129(b))	<b>710</b>
Other fee (specify): 37 CFR 1.20(d) Terminal disclaimer fee			
Other fee (specify):			
<b>SUBTOTAL (3)      (\\$) 280</b>			

### 2. CLAIMS

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description
103/\$18	203/\$9	Claims in excess of 20
102/\$80	202/\$40	Independent claims in excess of 3
104/\$270	204/\$135	Multiple dependent claim
109/\$80	209/\$40	Reissue independent claims over original patent
110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent

(Col. 1) For	No. of Existing Claims	minus*	(Col. 2) Highest No. Previously Paid For	=	(Col. 3) Extra**	Fee	Fee Due
TOTAL	26		20 or	=	6 x 18 = 108		
INDEP	5		3 or	=	2 x 80 = 160		

[ ] First presentation of multiple dependent claim

\* Subtract the greater number of Col. 2  
\*\* If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

**SUBTOTAL (2)      (\\$) 268**

### SUBMITTED BY

Typed or Printed Name

Robert R. Sachs

Complete (If applicable)

Reg. Number **42,120**

Signature

*TGZ:21 R.R.Sachs*

Date **November 20, 2001**



UNITED STATES PATENT AND TRADEMARK OFFICE



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#3

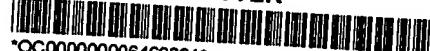
Page 1 of 1

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/900,485	07/06/2001	Rod A. Cherkas	16319-05452

00758  
FENWICK & WEST LLP  
TWO PALO ALTO SQUARE  
PALO ALTO, CA 94306

CONFIRMATION NO. 4159  
FORMALITIES LETTER



\*OC00000006469291\*

Date Mailed: 08/24/2001

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

**FILED UNDER 37 CFR 1.53(b)**

***Filing Date Granted***

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$268.
  - \$108 for 6 total claims over 20.
  - \$160 for 2 independent claims over 3 .
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1108.

*A copy of this notice **MUST** be returned with the reply.*

*MW*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE